



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

MORTON, FARAH

Art Unit: 3632

Serial No. 10/716,247

Examiner: Hewitt, James M.

For: PORTABLE INFANT BED

Filed: November 17, 2003

#### Certificate of Mailing

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Deniece Turner

STATUS REPORT IN REISSUE APPLICATION (MPEP § 1410)

Commissioner for Patents
Alexandria, VA 22313

Dear Sir:

This status report is submitted pursuant to the continuing duty of the applicant to disclose the status of court proceedings concerning the within application pursuant to MPEP § 1410. On March 25, 2005, the Court of Appeals for the Federal Circuit denied the patentee's petition for rehearing, affirming the judgment of non-infringement of patent 6,370,715 entered by the U.S. District Court for the Eastern District of California.

A copy of the 16-page Memorandum and Order from the District Court dated March 17, 2004, and a copy of the 2-page Order from the Court of Appeals for the Federal Circuit dated March 25, 2005 are attached hereto. There was no challenge to the validity of the patent in these court proceedings, so no new documents or materials material to patentability were developed during the litigation.

Dated: September 23, 2005

Respectfully Submitted,

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By ms. ~-

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FILED

MAR 17 2004

CLERK, U.S. DISTRICT COURT EASTERN DISTRICT OF CALLES EY \_\_

NO. CIV. S 03-2339 MCE DAD

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MEMORANDUM AND ORDER

UNITED STATES DISTRICT COURT EASTERN DISTRICT OF CALIFORNIA

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27 28 FARAH D. MORTON, an individual, and BABY DELIGHT, INC., a California corporation,

Plaintiffs,

v.

THE FIRST YEARS, INC., a Massachusetts corporation,

Defendant.

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On Nov. 10, 2003, Plaintiffs Farah Morton and Baby Delight, Inc. (collectively "Morton") filed suit against Defendant The First Years, Inc. ("TFY"), claiming that TFY's product, the Close and Secure Sleeper ("CSS") infringes Morton's patent, U.S. Patent No. 6,370,715 ("the '715 patent"). On Nov. 20, 2003, Morton

Morton requests the Court take judicial notice of the '715 patent, and included a copy of said patent in her request (continued...)

filed a motion seeking a preliminary injunction against TFY enjoining the sale of CSS. TFY answered the complaint on December 1, 2003, and on January 12, 2004, filed a counter-motion for summary judgment of non-infringement. The matter is before the court now on those two motions. As explained below, Morton's motion for preliminary injunction is be DENIED, and TFY's motion for summary judgment of non-infringement is GRANTED.

#### BACKGROUND

In 1999, Plaintiff Farah Morton developed a portable infant bed designed to protect a baby when sleeping in the same bed as adults, and also for use as a portable bed for the baby. She applied for a patent on the invention in September of 1999, and as a result the U.S. Patent and Trademark Office ("USPTO") issued the '715 patent on April 16, 2002. Morton formed the corporation Baby Delight, Inc. to market the bed, which she called the "Snuggle Nest". Baby Delight, Inc. has an exclusive license to manufacture, use, sell, and/or offer to sell any product covered by the '715 patent. Morton Decl. ¶ 3.

In September of 2003, Morton attended the ABC Kid's Expo in Las Vegas, Nevada. While there, she observed TFY advertising and taking advance orders for CSS, a product they were preparing for market. CSS was very similar to Morton's own Snuggle Nest, and

¹(...continued)

for judicial notice. As the Court finds the '715 patent a proper subject for judicial notice under Federal Rule of Evidence 201, Morton's request is granted.

she believed CSS infringed her '715 patent. The primary difference between the Snuggle Nest and CSS is that the side and end walls on the Snuggle Nest are detachable while CSS is formed of one piece of plastic such that the walls are not detachable.

As TFY was set to begin selling CSS in December of 2003, Morton filed her patent infringement complaint on November 10, 2003, and this motion for preliminary injunction on November 20, 2003. TFY opposed this motion and filed its own counter-motion for summary judgment of non-infringement on January 12, 2004. Oral argument on these motions was heard on February 9, 2004. As the Court finds as a matter of law that TFY's CSS does not infringe the '715 patent, Morton's motion for preliminary injunction is denied and TFY's motion for summary judgment is granted.

STANDARD

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### 1. Motion for Preliminary Injunction

Morton brings her motion for preliminary injunction under 18 U.S.C. § 283, which provides a district court jurisdiction to grant injunctions "to prevent the violation of any right secured by patent, on such terms as the court deems reasonable." As an injunction issued under this section involves substantial matters unique to patent law, the decision whether to issue such an injunction is governed by the law of the United States Court of Appeals for the Federal Circuit rather than that of the Ninth Circuit. Hybritech Inc. v. Abbott Labs., 849 F.2d 1446, 1451

n.12 (Fed. Cir. 1988).

Under Federal Circuit law, when confronted with a request for a preliminary injunction, the following "four factors are evaluated in making the decision:

- (1) The probability that the patentee will succeed on the merits at trial;
- (2) The irreparable harm to the patentee should the injunction be denied;
- (3) The balance of hardships between the patentee and the defendant of granting or denying the injunction;
- (4) The public interest."

Rhone-Poulenc Agrochime, S.A. v. Biagro W. Sales, Inc., No. CV-F-94-5734, 1994 U.S. Dist. LEXIS 20574, at \*6 (E.D. Cal. 1994) (citing H.H. Robertson, Co. v. United Steel Deck, 820 F.2d 384, 387 (Fed. Cir. 1987)). No one factor is dispositive in this evaluation; "rather, the district court must weigh and measure each factor against the other factors and against the form and magnitude of the relief requested." Hybritech, 849 F.2d at 1451.

#### 2. Motion for Summary Judgment

The Federal Rules of Civil Procedure provide for summary judgment when "the pleadings, depositions, answers to interrogatories, and admissions on file, together with affidavits, if any, show that there is no genuine issue as to any material fact and that the moving party is entitled to a judgment as a matter of law." Fed. R. Civ. P. 56(c). One of the principal purposes of Rule 56 is to dispose of factually unsupported claims or defenses. Celotex Corp. v. Catrett, 477

U.S. 317, 325 (1986).

Rule 56 also allows a court to grant summary adjudication on part of a claim or defense. <u>See</u> Fed. R. Civ. P. 56(a) ("A party seeking to recover upon a claim ... may ... move ... for a summary judgment in the party's favor upon all or any part thereof."); <u>see also Allstate Ins. Co. v. Madan</u>, 889 F. Supp. 374, 378-79 (C.D. Cal. 1995); <u>France Stone Co., Inc. v. Charter Township of Monroe</u>, 790 F. Supp. 707, 710 (E.D. Mich. 1992).

The standard that applies to a motion for summary adjudication is the same as that which applies to a motion for summary judgment. See Fed. R. Civ. P. 56(a), 56(c); Mora v. ChemTronics, 16 F. Supp. 2d 1192, 1200 (S.D. Cal. 1998).

Under summary judgment practice, the moving party always bears the initial responsibility of informing the district court of the basis for its motion, and identifying those portions of 'the pleadings, depositions, answers to interrogatories, and admissions on file together with the affidavits, if any,' which it believes demonstrate the absence of a genuine issue of material fact.

Celotex Corp. v. Catrett, 477 U.S. at 323 (quoting Rule 56(c)).

If the moving party meets its initial responsibility, the burden then shifts to the opposing party to establish that a genuine issue as to any material fact actually does exist.

Matsushita Elec. Indus. Co. v. Zenith Radio Corp., 475 U.S. 574, 585-87 (1986); First Nat'l Bank v. Cities Serv. Co., 391 U.S. 253, 288-89 (1968).

In attempting to establish the existence of this factual dispute, the opposing party must tender evidence of specific facts in the form of affidavits, and/or admissible discovery material, in support of its contention that the dispute exists.

Fed. R. Civ. P. 56(e). The opposing party must demonstrate that the fact in contention is material, i.e., a fact that might affect the outcome of the suit under the governing law, and that the dispute is genuine, i.e., the evidence is such that a reasonable jury could return a verdict for the nonmoving party. Anderson v. Liberty Lobby, Inc., 477 U.S. 242, 248, 251-52 (1986); Owens v. Local No. 169, Assoc. of Western Pulp and Paper Workers, 971 F.2d 347, 355 (9th Cir. 1987). Stated another way, "before the evidence is left to the jury, there is a preliminary question for the judge, not whether there is literally no evidence, but whether there is any upon which a jury could properly proceed to find a verdict for the party producing it, upon whom the onus of proof is imposed." Anderson, 477 U.S. at 251 (quoting Improvement Co. v. Munson, 14 Wall. 442, 448, 20 L.Ed. 867 (1872)). As the Supreme Court explained, "[w]hen the moving party has carried its burden under Rule 56(c), its opponent must do more that simply show that there is some metaphysical doubt as to the material facts .... Where the record taken as a whole could not lead a rational trier of fact to find for the nonmoving party, there is no 'genuine issue for trial.'" Matsushita, 475 U.S. at 586-87.

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In resolving a summary judgment motion, the evidence of the opposing party is to be believed, and all reasonable inferences that may be drawn from the facts placed before the court must be drawn in favor of the opposing party. Anderson, 477 U.S. at 255. Nevertheless, inferences are not drawn out of the air, and it is the opposing party's obligation to produce a factual predicate from which the inference may be drawn. Richards v. Nielsen

<u>Freight Lines</u>, 602 F. Supp. 1224, 1244-45 (E.D. Cal. 1985), aff'd, 810 F.2d 898 (9th Cir. 1987).

ANALYSIS

## 1. Preliminary Injunction

The only element of the preliminary injunction test seriously in dispute is that of Morton's likelihood of success on the merits of her infringement case. As shown below, the Court finds as a matter of law that TFY's product, CSS, does not infringe on the '715 patent. Therefore, Morton will not succeed on the merits. The Federal Circuit has explained that "case law and logic both require that [Morton] cannot be granted a preliminary injunction unless [she] establishes both of the first two factors, i.e., likelihood of success on the merits and irreparable harm." Amazon.com, Inc. v. Barnesandnoble.com, Inc., 239 F.3d 1343, 1351 (Fed. Cir. 2001).

Accordingly, because Morton has not established a likelihood of success on the merits of her infringement claim, her motion seeking a preliminary injunction is denied.

#### 2. Summary Judgment

In response to Morton's request for a preliminary injunction, TFY seeks summary judgment that its CSS does not infringe Morton's patent. "An infringement analysis requires two separate steps. First, the court must construe the claims

asserted to be infringed as a matter of law in order to establish their meaning and scope." Maxwell v. J. Baker, Inc., 86 F.3d 1098, 1105 (Fed. Cir. 1996) (citing Markman v. Westview Instruments, Inc., 517 U.S. 370, 384 (1996)). The second step is to compare claims as construed to the allegedly infringing device. See id.

The dispute in this case centers around claim 1 of the '715 patent. Claim 1 describes a portable infant bed containing three elements: (1) a support unit with detachable side and end walls attached to a flat base, (2) a fabric cover, and (3) a rectangular pad. It is only the support unit that is in question here. "To prove infringement, [Morton] must show that the [CSS] meets each claim limitation, either literally or under the doctrine of equivalents." PSC Computer Prods., Inc. v. Foxconn Int'l, Inc., 355 F.3d 1353, 1357 (Fed. Cir. 2004).

#### A. Literal Infringement

In order to find literal infringement, "the accused device must contain every limitation of the asserted claim." Maxwell, 86 F.3d at 1105 (citing Laitram Corp. v. Rexnord, Inc., 939 F.2d 1533, 1535 (Fed. Cir. 1991)). Morton does not contend that the CSS literally infringes any claim in the '715 patent. Claim 1 of the '715 patent claims a bed with a support unit consisting of a base and detachable walls. CSS does not have detachable walls; the entire support unit is formed out of one piece of plastic. Claim 2 of the '715 patent attempts to claim a support unit with integral walls, but, as Morton concedes, it was erroneously

drafted as a claim dependent on Claim 1 rather than an independent claim. Mot. Prelim. Inj. at 9, n.3. Therefore, although it seems to indicate a support unit with integral walls, claim 1 actually claims a support unit with detachable walls. Since CSS does not contain detachable walls, it does not literally infringe the '715 patent.

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#### B. Doctrine of Equivalents

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Although CSS "does not literally infringe, it may infringe under the doctrine of equivalents if the differences between the claimed invention and the accused device are 'insubstantial.'" Maxwell, 86 F.3d at 1105 (quoting Hilton Davis Chem. Co. v. Warner-Jenkinson Co., 62 F.3d 1512, 1517 (Fed. Cir. 1995) (en <u>banc</u>), <u>rev'd on other grounds</u>, 520 U.S. 17, 137 (1997)). patentee, Morton "may invoke this doctrine to proceed against a producer of a device 'if it performs substantially the same function in substantially the same way to obtain the same result'" as her patented device. Graver Tank & Mfq. Co., Inc. v. <u>Linde Air Prods.</u>, 339 U.S. 605, 608 (1950) (<u>Graver II</u>) (quoting Sanitary Refrigerator Co. v. Winters, 280 U.S. 30, 42 (1929)). "The theory on which [the doctrine of equivalents] is founded is that 'if two devices do the same work in substantially the same way, and accomplish substantially the same result, they are the same, even though they differ in name, form, or shape.'" Id. (quoting Union Paper Bag Mach. Co. v. Murphy, 97 U.S. 120, 125 (1877)).

The essential inquiry in determining whether the doctrine of

equivalents leads to a finding of infringement is: "Does the accused product or process contain elements identical or equivalent to each claimed element of the patented invention?"

Warner-Jenkinson Co. Inc. v. Hilton Davis Chemical Co., 520 U.S. at 40. An element is "a discretely claimed component of a patent claim." U.S. Patent and Trademark Office Glossary, available at http://www.uspto.gov/main/glossary/index.

In this case, the relevant element is the support unit with detachable sides. This, Morton claims, is equivalent to the support unit of the CSS even though that unit has integral sides which are not detachable. This argument has force if one looks only at the product's main purpose, that of securing and protecting a sleeping baby while in bed with adults. When used in that way, Morton's Snuggle Nest is the functional equivalent of the CSS. They both operate substantially the same way to prevent an adult from inadvertently rolling over onto the child and also to prevent the child from getting tangled in the bedding or caught between the headboard and mattress. The fact that the sides are or are not detachable does not affect this performance in any substantial way.

However, the ability to detach the walls serves another purpose altogether different from securing the baby. Morton also promotes the invention protected by the '715 patent as a comfortable bed for the baby to use for naps or while traveling. To that end, the '715 patent describes the benefit of detachable walls in the portability of the unit and in reducing its size for easy storage when not in use. CSS, with integral walls, does not share these beneficial attributes. To find equivalence, these

benefits must be ignored.

The '715 patent itself describes these benefits as "important." col. 3, ln. 27-30. In fact, the Background of the Invention section of the '715 patent describes the bassinet the invention is designed to replace, and states that the walls that protect the infant while sleeping also "make the bassinet bulky and difficult to transport." '715 patent, col. 1, ln.26-27. The claimed invention is touted as being "portable, and is especially useful while traveling (in hotels, airports, while visiting friends or relatives, day care, at the park, etc.) to provide a familiar place for the infant to sleep." '715 patent, col. 2, ln. 26-29.

With the emphasis on portability made within the language of the patent itself, the key features in making the invention so portable cannot be ignored. Thus, the fact that claim 1 specifies a support unit with detachable walls is a limitation on claim 1 to include detachable walls in the support unit.

The authority Morton cites in her opposition and also her surreply do not require a contrary holding. Those cases state that insubstantial differences between a claimed invention and the accused product can lead to a finding of equivalence even though not every limitation in the patent is found literally in the accused product. But nowhere does Morton point to a case in which a limitation that represents an important benefit of the invention was completely lacking in the accused product, yet equivalence still found. That is the case here, and this Court cannot find equivalence where the important benefits of the detachable walls to portability and storage are lacking in CSS.

#### C. Dedication to the Public

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TFY finally argues that even if the detachable walls are somehow found to be equivalent to non-detachable walls, the use of non-detachable walls was dedicated to the public through disclosure, and since they were not claimed in the patent, cannot be held infringing.

It is well established that "'subject matter disclosed but not claimed in a patent application is dedicated to the public." Maxwell v. J. Baker, Inc., 86 F.3d 1098, 1106 (Fed. Cir. 1996) (quoting Unique Concepts, Inc. v. Brown, 939 F.2d 1558, 1562-63 (Fed. Cir. 1991)); see also Miller v. Bridgeport Brass Co., 104 U.S. 350, 352 (1881) ("[T]he claim of a specific device or combination, and an omission to claim other devices or combinations apparent on the face of the patent, are, in law, a dedication to the public of that which is not claimed."). rule applies to both literal infringement and equally to infringement under the doctrine of equivalents. J. Baker, 86 F.3d at 1107. The rationale behind the rule is that the patentee should not be permitted to "write narrow claims for allowance by the [USPTO] and subsequently attempt to broaden the claims in court by using the doctrine of equivalents." PSC Computer Prods., 355 F.3d at 1357.

Morton concedes that non-detachable walls were inadvertently left unclaimed because claim 2 was written as a dependant claim. No argument has been made that claim 2 should be read as an independent claim or that CSS infringes any claim other than //

claim 1. As written, claim 2 is dependent on claim 1.2

According to the USPTO, a "dependent claim" is "a claim that refers back ('depends on') to and further limits a preceding dependent or independent claim. A dependent claim shall include every limitation of the claim from which it depends."

http://www.uspto.gov/main/ glossary/index.html#e. Additionally, Morton concedes that the accused product, CSS, does not literally infringe any claim in her patent. Mot. Prelim. Inj. at 9, n.3.

A support unit with integral walls, as compared to one with detachable walls, is disclosed in the Summary of the Invention, '715 Patent, Col. 1, ln. 64-65, and in the Detailed Description of the Preferred Embodiments, '715 Patent, Col. 4, ln. 15-19. Therefore, unless the '715 patent effectively claims a support unit with integral walls, Morton dedicated the use of a support unit with integral walls to the public. As explained above, the '715 patent does not claim such a support unit, and therefore it was dedicated to the public.' Accordingly, the use of a support unit with integral walls cannot, as a matter of law, be held to infringe Morton's patent.

Morton contends that her failed attempt to claim a support unit with integral walls in claim 2 of the '715 patent somehow prevents such a support unit from being dedicated to the public.

<sup>&</sup>lt;sup>2</sup> Claim 2 reads: "The infant bed of claim 1 wherein said base panel, end wall and side walls are integrated into a single unit." '715 patent, col. 5, ln 38-39.

A support unit with integral walls might be within claim 7, which is silent as to whether the walls are detachable or integrated into the support unit. Claim 7 contains a limitation that requires a plurality of openings for receiving suction cups. CSS contains no such openings, and Morton does not argue that CSS infringes claim 7.

According to Morton, the fact that she tried to claim such a support unit shows she did not intend to dedicate a one-piece support unit to the public. This argument misses the mark.

Patent law is clear as to the recourse available to a patentee that fails to effectively claim an invention. "Within two years from the grant of the original patent, a patentee may file a reissue application and attempt to enlarge the scope of the original claims to include the disclosed but previously unclaimed subject matter." R.E. Service Co., 285 F.3d at 1055. Morton has already filed such a reissue application to correct claim 2. Should that application be granted, TFY concedes that CSS would be within the scope of claim 2 of the '715 patent, and therefore be literally infringing upon it. However, that does not enter into the decision faced by this Court. For even if the '715 patent is reissued, TFY would not be prevented from producing CSS.

Patent law specifically addresses this effect of patent reissue in 35 U.S.C. § 252. In the event the '715 patent is reissued, it will be reissued with an effective date the same as that of the original issue. However, anyone who has made a product that would be infringing of the patent as reissued but not of the patent as originally issued is not affected by the reissue. 35 U.S.C. § 252. They are, in effect, "grandfathered in", and may continue to produce the now-infringing item. Thus, even if CSS would be infringing of the '715 patent if it is reissued, TFY would be permitted to continue to produce CSS. Therefore, the potential effect of reissuing the '715 patent with claim 2 stated as an independent claim rather than a dependent

#### CONCLUSION

For the reasons more fully explained above, Morton's motion for a preliminary injunction is DENIED. TFY's motion for summary judgment of non-infringement is GRANTED.

IT IS SO ORDERED.

DATED: MAR 16 2004

MORRISON C. ENGLAND Jr.
UNITED STATES DISTRICT JUDGE

# UNITED STATES COURT OF APPEALS FOR THE FEDERAL CIRCUIT

04-1308

FARAH D. MORTON and BABY DELIGHT, INC.,

Plaintiffs-Appellants,

٧.

THE FIRST YEARS, INC.,

Defendant Appellee.

ORDER

# United States Court of Appeals for the Federal Circuit

#### ORDER

A combined petition for panel rehearing and for rehearing en banc having been filed by the APPELLANTS, and the petition for rehearing having been referred to the panel that heard the appeal, and thereafter the petition for rehearing en banc having been referred to the circuit judges who are in regular active service,

UPON CONSIDERATION THEREOF, it is

ORDERED that the petition for panel rehearing be, and the same hereby is, DENIED and it is further

ORDERED that the petition for rehearing en banc be, and the same hereby is, DENIED.

The mandate of the court will issue on April 1, 2005.

FOR THE COURT,

Jan Horbaly Clerk

Dated: March 25, 2005

FILED
U.S. COURT OF APPEALS FOR
THE FEDERAL CIRCUIT

MAR 2 5 2005

IAN HORBALY CLERK

cc: Mark D. Miller
John M. Skenyon

MORTON V THE FIRST YEARS, 04-1308 (DCT - 03-CV-2339)

Note: Pursuant to Fed. Cir. R. 47.6, this order is not citable as precedent. It is a public record.

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